

LIFE, ACCIDENT AND HEALTH INSURERS

COMPANY NAME: _____ **NAIC Company Code:** _____

Contact: _____ **Telephone:** _____

REQUIRED FILINGS IN THE STATE OF: UTAH **Filings Made During the Year 2008**

***If XXX appears in this column, no filing is required if data is filed electronically with the NAIC**

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2"x14")	2	EO	xxx	3/1	NAIC	See Note E, F & L
	1.1	Printed Investment Schedule detail (Pages E01-E25)	2	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	See Note M
	3	Separate Accounts Annual Statement (8 1/2"x14")	2	EO		3/1	NAIC	
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	
	11	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	
	12	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	
	13	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	
	14	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	2	EO	xxx	4/1	NAIC	
	15	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	2	EO	xxx	4/1	NAIC	
	16	Long Term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	
	17	Management Discussion & Analysis	2	EO	xxx	4/1	Company	
	18	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	
	19	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	20	Reasonableness of Assumptions Certification	2	EO	xxx	5/15,8/15,11/15	Company	
	21	Reasonableness & Consistency of Assumptions Cert	2	EO	xxx	5/15,8/15, 11/15	Company	
	22	Reasonableness of Assumptions Cert. for Implied Guaranteed Rate Method	2	EO	xxx	5/15,8/15, 11/15	Company	
	23	Reasonableness & Consistency of Assumptions Cert. (Updated Average Market Value)	2	EO	xxx	5/15,8/15, 11/15	Company	
	24	Reasonableness & Consistency of Assumptions Cert. (Updated Market Value)	2	EO	xxx	5/15,8/15, 11/15	Company	
	25	Risk-Based Capital Report	2	EO	xxx	3/1	NAIC	
	26	Schedule SIS	2	N/A	N/A	3/1	NAIC	
	27	Statement of Actuarial Opinion	2	EO	xxx	3/1	Company	
	28	Statement on non-guaranteed elements - Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	
	29	Statement on par/non-par policies – Exhibit 5 Int. 1.1	2	EO	xxx	3/1	Company	
	30	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	31	Supplemental Schedule O	2	EO	xxx	3/1	NAIC	
	32	Trusted Surplus Statement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	
	33	Workers' Compensation Carve Out Supplement	2	EO	xxx	3/1	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS						
	40	Annual Statement Electronic Filing	xxx	1	xxx	3/1	NAIC	
	41	March .PDF Filing	xxx	1	xxx	3/1	NAIC	
	42	Risk-Based Capital Electronic Filing	xxx	1	N/A	3/1	NAIC	
	43	Separate Accounts Electronic Filing	xxx	1	xxx	3/1	NAIC	
	44	Separate Accounts .PDF Filing	xxx	1	xxx	3/1	NAIC	
	45	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	
	46	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	47	Quarterly Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	48	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	49	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		IV. AUDITED FINANCIAL STATEMENTS						
	51	Accountants Letter of Qualifications	2	N/A	N/A		Company	
	52	Audited Financial Statements	2	EO	xxx	6/1	Company	
	53	Audited Financial Statements Exemption Affidavit	0	N/A	N/A		Company	
	54	Independent CPA	0	N/A	N/A		Company	
	55	Notification of Adverse Financial Condition	2	N/A	N/A		Company	
	56	Report of Significant Deficiencies in Internal Controls	2	N/A	N/A		Company	
	57	Request for Exemption to File	1	N/A	N/A		Company	
		V. STATE REQUIRED FILINGS						
	101	Certificate of Compliance	0	0	0		State	
	102	Certificate of Deposit	0	0	0		State	
	103	Certificate of Valuation	0	0	0		State	
	104	Filings Checklist (with Column 1 completed)	0	0	0		State	
	105	Premium tax	1	0	1	3/1	State	
	106	Signed Jurat	2	xxx	xxx	3/1	NAIC	See Note L
	107	Utah Accident & Health Survey	1	xxx	1	3/1	State	See Note N
	108	State Filing fees	1	xxx	1	3/1	State	See Note O

***If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.**

****If Form Source is NAIC, the form should be obtained from the appropriate vendor.**

		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	
	A	Required Filings Contact Person:	
		Financial Statements	Dan Applegarth (801)538-9509 dapplegarth@utah.gov
	B	Mailing Address:	Utah Insurance Department State Office Building, Rm3110 Salt Lake City, Utah 84114-6901
	C	Mailing Address for Filing Fees:	Same as above
	D	Mailing Address for Premium Tax Payments:	K. Ray Hammond (801)297-3540 khammond@utah.gov Utah State Tax Commission 210North 1950West Salt Lake City, Utah 84134
	E	Delivery Instructions:	Domestics--- All hardcopy filings must be postmarked no later than the indicated due date. If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.
	F	Late Filings:	Foreign company electronic filings will be deemed filed based on the date received by the NAIC. Domestic hardcopy filings will be deemed filed based on the postmark date.
	G	Original Signatures:	Required for domestic companies.
	H	Signature/Notarization/Certification:	Required for domestic companies.
	I	Amended Filings:	To be submitted with cover letter and jurat page signed by top two officers.
	J	Exceptions from normal filings: <i>Extensions and/or exemptions do apply to premium tax and fees</i>	Requests for extensions for a period of 30 days or less beyond the regular due date or exemptions, from filing the annual statement only, will not be required providing the domiciliary state has granted the extension or exemption and notified the NAIC. Extensions beyond 30 days will require written request for extension prior to expiration of the initial 30 day period, and domiciliary approval.
	K	Bar Codes (State or NAIC)	Not Required.
	L	Signed Jurat	Domestics-Original Signature, Notarization/Certification required.
	M	Quarterly Financial Statements	Domestics must file two printed statements.

	N	Utah Accident & Health Survey	All insurers who have accident & health business in Utah are required to file this survey (see website for more).
	O	State Filing Fees	See Fee Schedule shown in Utah Administrative Code R590-102-5
		NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)	

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

Electronic filing is intended to include filing via the Internet or via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.

Column (1) (Checklist)

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

Column (2) (Line #)

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) (Required Filings)

Name of item or form to be filed.

The ***Annual Statement Electronic Filing*** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The ***March .PDF Filing*** is the .pdf file for annual statement data, detail for investment schedules and supplements due March 1.

The ***Risk-Based Capital Electronic Filing*** includes all risk-based capital data.

The ***Separate Accounts Electronic Filing*** includes the separate accounts annual statement and investment schedule detail.

The ***Separate Accounts .PDF Filing*** is the .pdf file for the separate accounts annual statement and all investment schedule detail.

The ***Supplemental Electronic Filing*** includes all supplements due April 1, per the *Annual Statement Instructions*.

The ***Supplement .PDF Filing*** is the .pdf file for all supplemental schedules and exhibits due April 1.

The ***Quarterly Electronic Filing*** includes the quarterly statement data.

The ***Quarterly .PDF Filing*** is the .pdf for quarterly statement data.

The ***June .PDF Filing*** is the .pdf file for the Audited Financial Statements.

Column (4) (Number of Copies)

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits.

Column (5) (Due Date)

Indicates the date on which the company must file the form.

Column (6) (Form Source)

This column contains one of three words: “NAIC,” “State,” or “Company.” If this column contains “NAIC,” the company must obtain the forms from the appropriate vendor. If this column contains “State,” the state will provide the forms with the filing instructions. If this column contains “Company,” the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) (Applicable Notes)

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.